



# AIR WAR COLLEGE

## RESEARCH REPORT

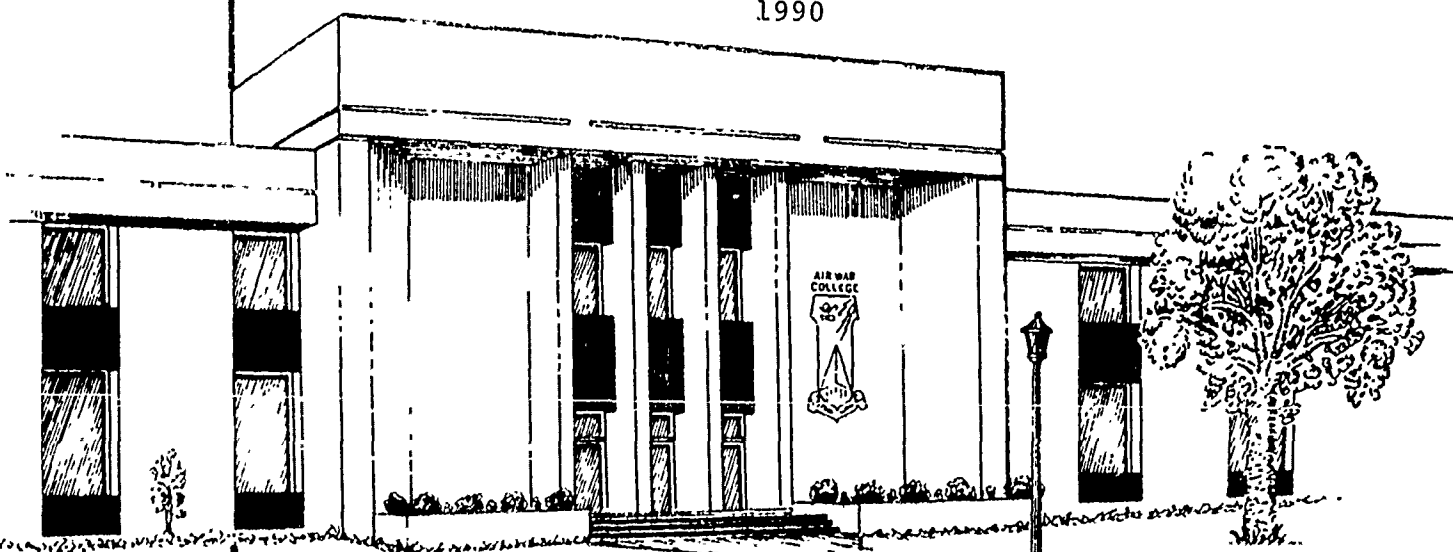
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COMBAT LEADER CHARACTERISTICS

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AIR UNIVERSITY  
UNITED STATES AIR FORCE  
MAXWELL AIR FORCE BASE, ALABAMA

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AIR WAR COLLEGE

AIR UNIVERSITY

COMBAT LEADER CHARACTERISTICS

by

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Lieutenant Colonel, USAF

A DEFENSE ANALYTICAL STUDY SUBMITTED TO THE FACULTY

IN

FULFILLMENT OF THE CURRICULUM

REQUIREMENT

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MAXWELL AIR FORCE BASE, ALABAMA

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## EXECUTIVE SUMMARY

TITLE: Combat Leader Characteristics      Author: Gary S. Boyle,  
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The thesis of <sup>→ hypothesis</sup> this report is that combat leaders require different traits and skills than military leaders in peacetime,

It is based on the assumption that the characteristics of these two types of leaders must be different because of the perceived differences in their behaviors. Neither this assumption nor the

→ hypothesis thesis was supported. A comparison of leaders in general, who were assumed to resemble military leaders in peacetime, and combat leaders showed that they shared nearly all of the characteristics correlated with leaders. Regardless of environment--combat, peacetime military, business, government--the differences in the characteristics of leaders were relatively minor. This comparison is based upon the results of scientific research and the observations of major military historians, American combat leaders and the military services. The implications of this research are significant.

The characteristics required by leaders in combat are the same as for military leaders in peacetime. These characteristics can be selected for and developed accordingly. Warriors do not possess leader characteristics which are counterproductive in peacetime. Peacetime leaders, even with the current emphasis on managerial behaviors in large, complex organizations like the military, can become combat leaders.

Keywords: Theses, Leadership,

→ skills, hypothesis, combat forces, peacetime. (EMK)

## BIOGRAPHICAL SKETCH

Lieutenant Colonel Gary S. Boyle (M.S. in Systems Management, University of Southern California and B.S. in Psychology, University of Notre Dame) has served as a personnel officer at group, major command and air staff levels, as well as at the Air Force Military Personnel Center. He has had assignments in the major commands of Strategic Air Command, Pacific Air Forces and United States Air Forces in Europe. He is a graduate of the Air Command and Staff College in residence, where his study (in conjunction with Major Jay Clem, USAF), "Physical Fitness and Productivity," received a Special Research Award for excellence. Colonel Boyle is a graduate of the Air War College, class of 1990.

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## CHAPTER I

### INTRODUCTION

You now face a new world, a world of change...And through all this welter of change and development your mission remains fixed, determined, inviolable. It is to win our wars. (1:4-58)

(General Douglas MacArthur)

Leaders are often thought of as agents of change, and this is definitely an era of change as military leaders like MacArthur and others such as John Naisbitt, author of Megatrends, have so well articulated. Unending problems stimulated by change confront us: AIDS, toxic waste, population explosion, Third World debt, disparity in economic development, depletion of the ozone level, regional conflicts employing increasingly lethal weapons, the threat of nuclear warfare, etc. The public's confidence in national as well as international institutions charged to address these problems grows ever weaker. Our apparent incapacity to resolve longstanding problems that threaten mankind's well-being, if not the species' very existence, prompts the eternal question: "Where are our leaders?" Today, world institutions, both civilian and military, are confronting this question with increasing urgency.

The military services continue to be in the vanguard of leadership research. This interest is natural since as General Omar Bradley commented: "Military men are expected above all else to be leaders." (2:2) Moreover the military services seek

not merely leaders but heroic leaders because there is a "requirement for heroic leadership when a popular state calls on its people to die in battle." (3:314) A Newsweek article indicates that the public holds a similar perception:

The old truism is that a young soldier's fighting power depends largely on the quality of his leaders. If anything these days, the American military needs a tougher, smarter corps of warrior-officers than ever before...At issue: Does America develop the kind of officers who can win wars? (4:34)

Widespread discontent with military performance and leadership since World War II, particularly in Korea, Vietnam, Iran and Lebanon, has sparked greater interest in the identification of the traits and skills of combat leaders in order to aid in their selection and development. Morris Janowitz 30 years ago argued that the modern officer corps is composed of heroic leaders, military managers and military technologists and that the balance has shifted to the latter two. The heroic leader is, of course, "a perpetuation of the warrior type,...who embodies the martial spirit and the theme of personal valor." (5:21) In contrast, the military manager "reflects the scientific and pragmatic dimensions of war-making." (5:21) The military technologist is "a military manager, with a fund of technical knowledge and a quality for dramatizing the need for technological progress." (5:164) General Curtis LeMay is an example of the heroic leader; General George Marshall, the military manager; and Admiral Hyman Rickover, the military technologist. (5:154,164)

The shift in the balance among these three types has



accompanied changes in military function and organization. In the age of nuclear weapons, deterrence not war has become the primary military function. Credible deterrence, given the intercontinental range and speed of modern weaponry, requires large standing forces ready to fight since the next war may well be over before forces could be mobilized and deployed. Thus, the organizational structure has grown dramatically and become increasingly specialized in order to research, develop, acquire, deploy and employ large numbers of technically complex weapons. Many officers are assigned to specialized staffs, without line or command authority, limiting their contact with the troops, and reducing opportunities to display warrior traits. The officer corps has adopted managerial skills to respond to the political demands for efficiency in the management of the largest organization in the Western world in terms of budget, people and technological complexity, not to mention lethality. (6:699-705)

The military's perceived inability to pass the battlefield test has tended to validate Janowitz's concept. In turn, this concept has focused the issue for the military on leadership versus management and leaders versus managers. Abraham Zaleznik has drawn the issue along these lines and generated a lively controversy:

It is easy enough to dismiss the dilemma I pose...by saying that the need is for people who can be both managers and leaders. The truth of the matter, as I see it, however, is that just as a managerial culture is different from the entrepreneurial culture that develops when leaders appear in organizations, managers and leaders are very different kinds of people. They differ in motivation, personal history, and

in how they think and act...The dimensions for assessing these differences include managers' and leaders' orientations toward their goals, their work, their human relations, and their selves.... (7:4-82)

Unfortunately, after years of research into combat leadership, the Army acknowledges that: "Science has not been able to give us a formula for the successful combination of traits that will lead to success in all situations." (8:125) Interest in this subject, nonetheless, continues unabated in the military services, including the Air Force. The Air War College, for example, annually sponsors research projects inquiring whether or not combat requires leadership traits and skills different from those required in peacetime. This is one of those research projects.

#### Problem Definition

The problem is defined by the Air War College (9:164) in the form of questions in need of an answer:

1. Does combat leadership require leadership traits and skills different from those required in peacetime?
2. Are there certain "warrior" traits and skills that serve the armed forces well in war but are counterproductive to leadership in peace?
3. Can an "effective manager" become a warrior leader when challenged by combat?
4. Has the absence of a protracted war since Vietnam resulted in a culling of warriors from our armed forces and the promotion of "effective managers?"

This research project will attempt to answer these

questions. The thesis is that combat leaders require different traits and skills than military leaders in peacetime.

#### Objectives of the Study

The Air War College has established four objectives (9:164) for this research project:

1. To compare and contrast traits and skills against criteria for effective leadership in combat and the peacetime military.
2. To design and defend a set of criteria for leadership traits and skills in both peace and combat.
3. To define a process for forecasting the effectiveness in combat of traits and skills displayed by successful peacetime leaders.
4. To make specific recommendations about how this research might be useful to the Defense Department.

#### Assumptions

##### Definition of Leadership

We should begin with a definition of leadership; however, a widely accepted one does not exist. According to

##### Stogdill's Handbook of Leadership:

Leadership has been seen as the focus of group processes, as a personality attribute, as the art of inducing compliance, as an exercise of influence, as a particular kind of act, as a form of persuasion, as a power relation, as an instrument in goal attainment, as an effect of interaction, as a differentiated role, and as initiation of structure...One complex definition that has evolved...delineates effective leadership as interaction between members of a group that initiates and maintains improved expectations and competence of the group to solve problems or attain goals. (10:584)

The Air Force definition of leadership, presented in AFF 35-49, Air Force Leadership, is: "the art of influencing and directing people to accomplish the mission." (11:2) This definition, while not as precisely stated as Stogdill's, does imply essentially the same process of working through people in organizations to achieve objectives.

A more recent definition, proposed by Warren Bennis and Burt Nanus and receiving increasing emphasis especially in business, government and the military, substitutes the word "vision" for goals, missions and objectives. "Leadership is what gives an organization its vision and its ability to translate the vision into reality." (12:20)

For the purpose of this paper, we will assume that the definitions of leadership by Stogdill, the Air Force and Bennis and Nanus describe the same process.

#### Definition of a Leader

A leader is defined, according to Webster's, as a person who by force of example, talents, or qualities of leadership, plays a directing role, wields commanding influence, or has a following in any sphere of activity or thought. Implicit in this definition is the concept of a leader acting as a change agent to translate the efforts of group members into the realization of group goals. This research project is concerned with leaders in formal organizations, as opposed to informal groups and individual endeavors (for example, thinkers, innovators, entrepreneurs). We will consider formal as well as informal leaders within organized groups, regardless of level or

function. Leaders will not be defined in terms of status, official authority or appointed position.

#### Traits versus Skills

Leadership research on traits has generally considered skills and competencies together with traits as part of the same concept. According to Webster's, a trait is defined as a distinguishing quality of personal character. A skill is the ability to use effectively one's knowledge of the means or methods of accomplishing a task. A competency is the possession of knowledge, judgment, strength or skill needed to perform a specific action. The term, "leader characteristics," includes the traits, skills, competencies, and physical attributes of leaders. (13:33) In this report, we will use the term "leader characteristics" interchangeably with "leader traits and/or skills."

We will assume that the specific characteristics identified by different authors are defined in the same way, unless it would significantly distort the results.

#### Limitations

The data available for this study are not complete. Leadership research has not produced strong, consistent and integrated findings. The sheer volume of studies, disparity of approaches and proliferation of confusing terms are part of the problem. Many studies also were seriously flawed and have not been replicated. A significant portion of the research was too narrow, examining only a limited range of variables.

(14:268,287) The focus primarily has been on interpersonal

aspects, such as consideration and initiating structure. Little research has been done at the senior level of organizations; most has been done at the supervisory level. The approach of past research has been haphazard because it did not have an adequate model or conceptual framework to guide it. (15:272-273)

The best we can say is that leadership is art, not science. We are not sure of the precise relationship among the variables or even if we have identified all the variables. Researchers have attempted to quantify leadership but have encountered difficulties in linking objective criteria for leadership effectiveness with the subjective process of leadership itself. (10:602) Thus we do not have an accepted theory of leadership to guide this research project.

#### Organization of the Report

The next chapter will place this research project into context by reviewing the various theoretical approaches to leadership and will present models of leadership to guide this analysis. In Chapter III, the research on leader characteristics will be summarized. We will compare and contrast civilian and military leaders as well as military leaders in peacetime and in combat. Chapter IV will address the differences between managers and leaders and whether managers can be developed into warriors. It will also discuss the feasibility of a process for forecasting potential for combat leadership. Chapter V will present the conclusions and offer recommendations on how to make the results of this research project useful to the Defense Department.

## CHAPTER II

### LEADERSHIP RESEARCH

#### Theories

To understand why the Army has not found the trait formula for effective leadership, we should review the trait theory and examine how it fits into our present understanding of leadership. Briefly, researchers have taken three basic approaches to the study of leadership: first, the great-man theory, then the trait approach and currently the situational theories.

#### Great-Man Theory

"For many, history was shaped by the leadership of great men." (10:26) The premise of this theory was that some men are endowed with extraordinary qualities and that these men initiate change in society or prevent others from leading society in another direction. This theory ignored women as leaders, despite the influence of great women such as, Joan of Arc, Queen Elizabeth I and Catherine the Great. (10:26-27)

At the beginning of the present century, leaders were generally regarded as superior individuals who, as a result of fortunate inheritance or social adventure, became possessed of qualities and abilities that differentiated them from people in general. The search for the specific qualities occupied the next two generations of communicators and researchers. (10:73)

The great-man theory assumed that we could understand leadership by studying the great men, such as Washington,

Jefferson, Lincoln, Lee and MacArthur. From study, we do gain insights, but we also identify both Gandhi and Patton as leaders---two very different individuals in personality characteristics, behavior and leadership style. Researchers, thus, were forced to conclude that the great-man theory does not offer a model of effective leadership. (16:4)

### Trait Theory

The trait theory evolved out of the inability of the great-man theory to identify leaders until after the fact because of the broad variability in the characteristics of the great men. "To overcome this difficulty, some researchers believed that it would be more fruitful to identify the common traits of effective leaders." (16:4)

If the leader is endowed with superior qualities that differentiate him from his followers, it should be possible to identify these qualities. This assumption gave rise to the trait theories of leadership. (10:27)

Researchers in decades of studies have identified numerous distinguishing characteristics, but many believe they have only succeeded in describing a lifeless set of abstractions. When any leader is evaluated against the list of traits, he does not fare very well on several of them. Researchers thus were forced to question the validity of the list of leadership traits and the trait theory. (16:4)

### Situational Theories

The great-man and trait theories attempted to explain leadership as the outcome of a single factor---the leader. The situational theories evolved to take into account the



interactive effects of leader, follower and situational factors. Numerous situational theories have been postulated. Among the better known are the humanistic theories which deal with the development of effective and cohesive organizations and focus on leadership styles correlated with measures of effectiveness. These theories include: Argyris's Maturity-Immaturity Theory, Blake and Mouton's Managerial Grid, Hersey and Blanchard's Life Cycle Theory, Likert's Systems 1, 2, 3 and 4, and McGregor's Theory X and Theory Y. (10:28-34)

Situational theories also include the interaction-expectation theories, such as path-goal and contingency. In the path-goal theory, "the leaders clarify the goals of their subordinates as well as the paths to those goals." (10:32) Fielder's Contingency Theory maintains that: "the effectiveness of a given pattern of leader behavior is contingent upon the demands imposed by the situation." (10:32)

Still other situational theories are the perceptual and cognitive theories. These include attribution theory, systems analysis, and rational-deductive approaches. In attribution theory, each individual has his own theory of leadership and the perception of a leader depends on others' implicit theories about leadership. Systems analysis uses the systems theory to construct a model of leader-follower relationships. In the rational-deductive approach, Vroom and Yetton developed a decision logic table to prescribe rationally whether directive or participative leadership is most likely to succeed in a given situation. (10:35-37)

After some 20 or 30 years of such research, many theorists now conclude that there is no one best leadership style; it depends on the situation...It is hard to deny that the situation itself must be given due consideration in selecting the appropriate leadership style, but a pure situational approach appears vacuous...hard pressed to cover all possible situations that might confront a leader...provides no central core that captures the essence of leadership; it is eclectic in the extreme. (16:5)

In short, each of these approaches has significant deficiencies in explaining leadership. Each approach has something to say about leadership but cannot stand alone. Until the researchers are able to integrate the pieces of what we have learned about leadership into a unified theory and model, leadership will remain an art, not a science. (16:5)

### Models

In our efforts to understand the nature of leadership, we seek for a useful model. We seek some type of conceptual framework that will help us define, predict, and develop leadership. (16:3)

#### Trait Model

The trait model assumed the characteristics of the leader were solely responsible for the group's results, as depicted in Figure II.1.

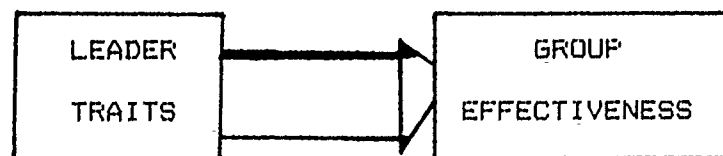


Figure II.1. Trait Model of Leadership. (14:7)

### Current Model

Each of the later approaches to leadership had their own model, but in attempting to describe what leaders actually do, the various models did not satisfy three important criteria.

First, the model must define leadership in terms of results achieved: accomplishment of ends, results, objectives. Second, the model must deal with how the results were achieved...Third, the model must elucidate the time frame...short-term results versus long-term. (16:5)

In the absence of an accepted model of leadership, the best available construct for considering leadership is perhaps Yukl's "Integrating Conceptual Framework" (Figure II.2). Yukl hypothesizes that: "When the sets of variables from different approaches are viewed as part of a larger network of interacting variables, they appear to be interrelated in a meaningful way." (14:268) His framework incorporates the major variables considered in the leadership theories, including leader traits and skills, behavior and power, as well as situational, intervening and end-result variables.

The model...is based on the assumption that organizational effectiveness, in terms of end-result variables, is mediated by the core set of intervening variables. These in turn are determined by a complex interaction among leader traits, power, influence, and situational variables. Leaders can directly influence intervening variables in a variety of ways, and by taking actions to make the situation more favorable, they can indirectly influence the intervening variables...The model recognizes the fact that leadership is only one of many determinants of organizational performance, and the possibility that these other influences may overwhelm the leader's influence. (14:268)

LEADER TRAITS and SKILLS	LEADER BEHAVIOR	INTERVENING VARIABLES	END RESULT VARIABLES
Managerial Motivation Self- confidence Energy Level Emotional Maturity Technical Skills Human Relations Skills Conceptual Skills Physical Attributes	Task-oriented Behavior Group- maintenance Behavior Influence Attempts with Subordinates Representative Behavior	Subordinate Effort and Commitment Subordinate Skills Task/Role Organization Group Cohesiveness and Teamwork Subordinate Role Clarity Leader/Subordinate Relations Support Services and Resources	Group Performance  Goal Attainment  Group Capability  Member Psycho- logical Health and Growth
	LEADER POWER	EXOGENOUS SITUATIONAL VARIABLES	
	Expert Power Referent Power Legitimate Power Reward Power Coercive Power Upward Power Lateral Power	Task Characteristics and Technology Scope of Formal Authority Legal/Political Constraints Environmental Forces Subordinate Needs, Values and Personality	

Figure II.2. Integrating Conceptual Framework of Leadership (14:269)

### Combat Model

Hunt's Heuristic Model of Leadership on the Future Battlefield (Figure II.3) is likewise one of the best available models for considering leadership in combat. The broad range of variables related to leadership in combat is addressed. It contains leadership and managerial behavior factors, environmental and organizational factors (macro contingency factors), unit, task and individual factors (micro contingency factors) and individual and unit effectiveness outcomes. Macro and micro factors influence not only leadership and managerial behavior but also the consequences of these behaviors on individual and unit outcomes. The macro and micro factors also directly effect individual and unit outcomes. (17:2-3)

The model suggests the highly complex and interrelated set of dynamic processes involving an open system with extensive feedback processes. In conveying the extensive range of factors seen to influence leadership on the future battlefield, the model suggests the breadth of topics necessary to examine the future battlefield systematically. The ultimate challenge is to develop a more parsimonious model of the key variables. (17:3)

In the strict sense, Yukl's and Hunt's "models" are actually conceptual frameworks, not models. Neither explains the precise relationship between the multiple variables presented. Still their "models" are useful for analysis of leadership. Yukl and Hunt are concerned with leadership in two very different contexts---civilian and military. Yet the models are similar in their comprehensive approach and in the majority of the factors included. The basic point in both models is that the characteristics of a leader constitute only one variable in

Feedback

LEADERSHIP and  
MANAGERIAL BEHAVIOR

Leader Behavior  
Managerial Behavior

MACRO CONTINGENCY FACTORS

International Environment  
Societal Environment  
Task Environment  
Organizational Context  
Organizational Structure  
and Design  
Organizational Processes  
Human Resource Management

INDIVIDUAL and UNIT  
OUTCOMES

Individual  
Effectiveness  
Unit Effectiveness

MICRO CONTINGENCY FACTORS

Group/Unit Characteristics  
Task Characteristics  
Subordinate Characteristics  
Leader Characteristics

Feedback

Figure II.3. A Heuristic Model of Leadership on the Future  
Battlefield (17:2)

the leadership process. Leader characteristics may or may not produce the dominant effect on unit effectiveness. A leader's behavior, as opposed to characteristics, may produce the dominant effect. In some instances, factors other than the leader's characteristics and/or behavior drive the organizational results.

We miss much of what needs to be understood if we simply try to relate leader behavior, particularly generalized leader behavior, to final group outcomes. The relation must be considered in terms of the group's norms, cohesiveness, and so on, as well as the leader's characteristics. (10:602)

Researchers have concentrated on the individual factors, such as leader traits. Little research has been done on the interaction among several factors like leader traits, power and behavior. Therefore, research has yielded substantial information about each factor but very little about how these factors fit together.

## CHAPTER III

### LEADER CHARACTERISTICS

The interplay between context and personal attributes is easy to grasp, and people accept it quite readily. But then they return to their unquenchable curiosity about the characteristics of leaders. We need not be unresponsive to that curiosity. There is in fact much to be said. The probability is greater than chance that leaders in one situation will be leaders in another situation. So there is no reason why, with appropriate prudence, we should not discuss attributes often associated with one or another kind of leadership. (18:48)

(John W. Gardner)

This discussion does not arise purely out of academic curiosity; it has practical merit. The identification of specific leader characteristics has significant potential application to the selection, development and training of personnel, especially in large organizations. The personnel testing and selection programs of the military services begun during World War I have long pursued this objective. These efforts, in fact, stimulated much of the subsequent research to identify leader traits. (10:585)

The conventional wisdom is that leaders are a diverse lot, displaying different qualities and styles. This diversity is evident even among leaders in a particular context, such as the military--for example, Patton and Bradley. The military services are interested in sharpening the distinction between heroic leaders and other types of leaders and managers. To begin the analysis, we will review the specific findings of the



trait research for leaders in general, that is, without regard to context--business, government, education, military, etc. We will then contrast these findings with the identified characteristics of military leaders. We are trying to answer the question: Does combat leadership require traits and skills different from those required in peacetime?

#### Leaders in General

...in the 1940s, three reviews--by Bird (1940), by W. O. Jenkins (1947), and particularly by Stogdill (1948)--sounded the seeming deathknell of a purely traits approach to the study of leadership...The reviews by Bird, Jenkins, and Stogdill have been cited frequently as evidence in support of the view that leadership is entirely situational in origin and that no personal characteristics are predictive of leadership. (10:73)

Stogdill, in his 1948 review, assessed 5,000 scientific studies on leadership; he ignored advisory and inspirational literature. He found:

A person does not become a leader by virtue of the possession of some combination of traits...the pattern of personal characteristics of the leader must bear some relevant relationship to the characteristics, activities, and goals of the followers. (10:64)

Although some traits appeared widely relevant for different kinds of leaders, these traits were neither necessary nor sufficient to insure leadership success. A leader with certain traits could be effective in one situation but ineffective in a different situation. Furthermore, two leaders with different patterns of traits could be successful in the same situation. None of the traits in these studies correlated very highly with leadership effectiveness when considered alone. Various combinations of traits correlated more highly with leader effectiveness, but only within certain limited situations. (14:175)

Stogdill believed that researchers had overreacted to his review and later said that he had been misinterpreted. In 1970, he again reviewed the trait research and found new studies

which employed improved scientific methods. He concluded that the prevailing "view seems to overemphasize the situational and underemphasize the personal nature of leadership. Strong evidence indicates that different leadership skills and traits are required in different situations." (10:73)

This time, Stogdill found numerous distinguishing characteristics of leaders which are listed in Figure III.1. (10:75-76) Of the many characteristics, he emphasized:

The leader is characterized by a strong drive for responsibility and task completion, vigor and persistence in pursuit of goals, venturesomeness and originality in problem solving, drive to exercise initiative in social situations, self-confidence and sense of personal identity, willingness to accept consequences of decision and action, readiness to absorb interpersonal stress, willingness to tolerate frustration and delay, ability to influence other persons' behavior, and capacity to structure social interaction systems to the purpose at hand. It can be concluded that the clusters of characteristics listed above differentiate leaders from followers, effective from ineffective leaders, and higher-echelon from lower-echelon leaders. (10:81)

Stogdill makes it clear that recognition of the relevance of leader traits is not a return to the original trait approach. The premise that certain leader traits are absolutely necessary for effective leadership has not been substantiated in several decades of trait research...It is now recognized that certain traits increase the likelihood that a leader will be effective, but they do not guarantee effectiveness, and the relative importance of different traits is dependent on the nature of the leadership situation. (14:176)

Lord, Devader & Alliger, in 1986, applied an improved methodological procedure in statistically aggregating results across studies. They studied a literature review of leadership in small groups that failed to identify any distinguishing characteristics. Even though the original review (19:241-270) only measured a limited number of traits, they were able to

identify several characteristics. They found a positive correlation between leadership perceptions and intelligence, masculinity (aggressive, decisive, unemotional) and dominance (determined, directive, tough, cooperative, flexible). (20:406)

They concluded that:

...prior research on trait theories and leadership has been misinterpreted as applying to a leader's effect on performance, when it actually pertains to the relation of leader traits to leader emergence...or the perception of leadership, not with leadership effectiveness...In short, what has occurred in the scientific literature is an overgeneralization of findings on personality and leadership *perceptions* to the issue of how personality relates to leader *effectiveness*...personality traits are associated with leadership perceptions to a higher degree and more consistently than the popular literature indicates...the *perceived traits* of potential leaders and the *measured traits* of potential leaders would not agree perfectly...Leadership is probably defined in terms of a prototype involving several traits...Our findings...do not *directly* imply that there are also traits that would generally predict the performance of a leader's work group or organization, nor do they imply that there are certain types of leadership behaviors that will generally produce superior performance. (20:402-408)

After Stogdill's death, Bass revised and updated Stogdill's Handbook of Leadership. Bass identified most of the same leader characteristics as Stogdill. However he emphasized the characteristics somewhat differently. He concluded that: "The many traits...associated with leadership...contain the seeds of two propositions: to emerge as a leader, one must participate; to remain acceptable to others as a leader, one must exhibit competence." (10:97)

According to Bass, leaders demonstrate four important competencies: skillful use of influence, task achievement, management control, and advising and counseling. They display a

preference for and ability to initiate and sustain interactions with other persons. Their interaction capacity may be strongly associated with the need to be dominant and assertive. Leaders seem to be alert to the surrounding environment and have insight into and understanding of "social" situations. They seem to know what followers want, when they want it, and what the obstacles are. Leaders are intelligent and demonstrate task orientation and the need for achievement and even self-actualization. They seek autonomy and self-esteem. They are willing to accept responsibility. Leaders maintain goal direction, facilitate task achievement, and ensure group cohesiveness. (10:101,586-587)

Competence included being a good facilitator, enabling others to make an effective contribution, having skill in handling the inner workings of the group, maintaining activities on a relatively smooth course, giving direction to activity, acquainting followers with their role in the main effort. The leader must be able to discriminate between good and bad work and to evaluate such work. (10:104)

Research on the characteristics of leaders indicates that personality is an important factor in emergence as a leader and in maintaining the role...Research results suggest that the traits and abilities required of a leader tend to vary from one situation to another. The best predictor of leadership is prior success in this role. But previously successful leaders may fail when placed in a situation that imposes demands incompatible with their personality.... (10:585)

Van Fleet and Yukl in their 1986 review found that: "The optimum mix of specific kinds of conceptual and human relations skills and the nature of the technical knowledge required by a leader vary from one kind of organization to another." (13:34) They concluded that the dominant leader characteristics common

to most organizations are managerial motivation and task relevant expertise. (13:34) Yukl again reviewed the research in 1989 and reported several traits and skills characteristic of successful leaders; they are listed in Figure III.1. (14:176) He particularly stressed:

In order to be successful, a leader needs to have considerable ability as well as motivation. Three general categories of skills relevant to all...are interpersonal skills, cognitive skills, and technical skills. The relative priority of the three types of skills probably depends on the type of organization and level...The relative importance of the specific skills within each broad category also depends on the situation. Some skills such as persuasiveness, analytical ability, speaking ability, and memory for details will help...in any situation, whereas some other skills are not easily transferred to a different type of position. (14:202-203)

It is not a great revelation that all leaders do not possess the same characteristics. As hypothesized by Yukl's "model," other variables in the leadership process may influence both the demonstrated leader characteristics and the group's effectiveness. The synergistic interaction of variables in the "model" enables more than one mix of characteristics to contribute to group effectiveness. This implication would account for much of the variability witnessed in the characteristics of leaders.

Scientific research has established that leaders do differ from followers in a variety of characteristics. The specific ones identified often varied from study to study, probably because the dominant characteristics vary with the requirements of the followers and the situation. For leaders in general, the characteristics may be grouped into several

categories: personality attributes and administrative, intellectual, interpersonal and technical skills. In most cases, the dominant characteristics are likely to include motivation and task-related competence. These distinguishing characteristics seem to be correlated with the perception of leadership potential by followers and the emergence of leaders. Research, though, has not demonstrated that the leader's characteristics bear any certain relation to leader effectiveness.

The specific characteristics identified by the major reviewers of leadership research are compared in Figure III.1. This comparison indicates substantial agreement among researchers on the categories of characteristics common to leaders. There is less agreement on the specific characteristics. However all these reviewers agree that leaders are decisive, intelligent, cooperative, motivated, assertive and have a strong will. Three of the four concur that leaders are alert to the social environment, diplomatic, persuasive, knowledgeable and competent on the task, adaptable, emotionally balanced, energetic, willing to assume responsibility, tolerant of stress and take social initiative. At least two of the reviewers agree with the remaining characteristics listed in Figure III.1. Given the number of underlying scientific studies reviewed by each researcher, we have an objective basis to accept each of these characteristics as valid for leaders in general.

CHARACTERISTICS	RESEARCHERS			
	STOGDILL	BASS	LORD	YUKL
Administrative Skills				
Organized	X			X
Intellectual Skills				
Articulate, Fluent in Speaking	X			X
Decisive, Judgment, Objectivity, Tough-mindedness	X	X	X	X
Intelligent, Conceptual, Analytical	X	X	X	X
Interpersonal Skills				
Alert to Social Environment, Insight to Followers' Needs	X	X		X
Cooperative	X	X	X	X
Diplomatic, Tactful	X	X		X
Persuasive, Inspiring	X	X		X
Social Initiative/Competence	X	X		X
Technical Skills				
Knowledgeable about Group Tasks	X	X		X
Task Competent, Able	X	X		X
Personality Attributes				
Adaptable, Flexible	X		X	X
Achievement/Task Completion-Drive, Initiative, Desire to Excel, Persistent, Motivated	X	X	X	X
Aggressive, Assertive	X	X	X	X
Clever, Resourceful	X			X
Courageous, Daring	X			
Creative, Originality	X			X
Dominant, Desire to Influence Others, Strength of Conviction/Will, Independent	X	X	X	X
Emotional Balance & Control, Mature, Well-adjusted	X		X	
Energetic, High Activity Level, Enthusiastic, Active Participant	X	X		X
Integrity, Ethical Conduct	X			
Responsible, Willingness to Assume and Drive for Responsibility, Dependable	X	X		X
Self-confident	X			X
Tolerant of Stress	X		X	X

Figure III.1. Characteristics of Leaders.

### Peacetime Military Leaders

How do these findings about the characteristics of leaders in general compare to the characteristics of military leaders in peacetime? Little scientific evidence is available to answer this question. "Most of the early research programs included both business and military samples, so that any distinction between military and business leadership tended to be obscured...." (13:11) Stogdill, in part, based his 1948 review on Jenkins' 1947 review of 26 military leadership studies. Jenkins, however, was not able to discriminate the characteristics of military leaders. "Although military leaders tend to show some superiority over followers in at least one of a variety of abilities, there was little agreement as to the abilities characterizing the leaders." (10:73) Neither Stogdill nor Bass differentiated the characteristics of military leaders versus leaders in general, except in isolated cases as will be discussed in the next section.

Van Fleet and Yukl compiled and reviewed "the single, most complete bibliography on military leadership available." (13:147) They also analyzed the results of Stogdill's factor analytic review of 52 studies to determine the consistency between the military and business samples. They could not draw any distinctions between the characteristics of combat and peacetime military leaders. They did find that military and business leaders have many characteristics in common, though they differ in degree:

The ones [characteristics] which appear more frequently in



the military organizational studies include courage and daring, willingness to assume responsibility, leadership effectiveness and achievement, and ethical conduct and personal integrity...Those which appear more frequently in the business group of studies include administrative skills, physical energy, and communication skills. Most other skills are significant for both the military and business subgroups but are not significantly different from one another. (13:20)

In view of the paucity of scientific data in this instance, we will have to make an assumption about the characteristics of peacetime military leaders in order to proceed with the analysis. The thesis of this project arises from the perceived shift in the balance of the officer corps from warriors to managers. Many military officers are perceived to resemble civilian leaders more than the traditional heroic leader/warrior. Civilian leaders, in turn, are widely considered to be managers rather than leaders. We will defer discussion of the differences between leaders and managers until the next chapter. Meanwhile, we will assume that civilian leaders have the same characteristics as the "leaders in general" discussed in the last section.

The thesis itself--that combat leaders require different characteristics than peacetime military leaders--is based on the assumption that behavior is determined by characteristics. As the leadership models in the last chapter suggest, leader behavior does not necessarily correlate with characteristics; the interaction of variables other than leader characteristics could determine leader behavior. However, to give this thesis the benefit of any doubt, we will assume, for the purpose of this analysis, that the characteristics of military leaders in

peacetime are the same as those of leaders in general, since their behavior is perceived by many observers to be similar.

### Combat Leaders

#### Researchers

War by its very nature allows little opportunity for the scientific study of military leadership. Jenkins' 1947 review included numerous studies of combat leadership in World War II. Jenkins, however, observed that few presented any "empirically determined evidence and all of them reflected the personal opinions and speculations of the authors." (21:65) The results were inconsistent, and Jenkins had to conclude: "No single trait or group of characteristics has been isolated which sets off the leader from members of his group." (21:74-75)

Grinker and Spiegel in 1945 conducted an extensive study of combat stress effects on flying crews and drew inferences concerning the characteristics of a successful combat leader:

...the leader must be technically competent in his military duties. The personal safety of his men depend upon his skill, knowledge and good judgment in battle...The leader must be...strong in character and decisive. There must be no question of his courage...The good leader is demanding of the men, and gets more out of them not only because he communicates his own strength, but because he asks for and insists upon superior performance...The leader must have good judgment concerning the limit of tolerance the men have for combat...The leader must... avoid the twin evils of lack of consideration and overconsideration. (22:46-48)

Van Fleet and Yukl, as previously noted, have also extensively reviewed the research on military leadership. They found situational and behavioral differences between combat and other types of leaders. However, in terms of characteristics, they did not distinguish among leader types.

The literature suggests that there is 'no one best way,' but that effective leadership depends upon the leader, the led, and the situation in complex interacting ways which we are only beginning to understand. Since the military situation appears to be somewhat different from that of business, one would expect effective leader *behavior* (italics added) to be different between these two. (13:11)

We have learned that combat and noncombat require quite different distributions of effective leader *behaviors* (italics added); that such differences also are likely by level (company grade, field grade, general grade, for instance); that the leader's emphasis must always be on performance in any instance; that military leaders must display inspirational behavior both through example and by building the confidence of subordinates to accomplish their missions; that upward and lateral influence are important to mission achievement; and that certain skills and competencies are important, including task relevant expertise and interpersonal skills. (13:96)

Bass, whose comprehensive review included available military research, made only a few references to combat leaders.

...military combat units, in contrast to military combat support units, can be faced with more turbulent environments, greater stress, more life-and-death emergency situations, with greater demand for individual initiative, risk, and commitment to unit goals.... (23:159)

In field studies with army combat squads performing a variety of field problems, Goodacre (1951), Greer, Galanter, and Nordlie (1954), and Havron and McGrath (1961) reported that the characteristics of the squad leaders most highly associated with their unit's effectiveness were overall ability, job knowledge, knowledge of their men, emotional stability, and willingness to act. (10:106)

In many contingencies such as in emergencies or when leading inexperienced followers, more direction, task-orientation, and initiation [of structure] were seen to be the more effective way to lead. (23:3)

### Military Historians

The Army, while acknowledging that science has yielded no formulas, still believes combat leaders have certain traits that distinguish them from followers.

We know...that a leader's character--that combination of his personality traits--can be the determining force of victory or defeat. We know from experience that some traits are essential to being a good soldier and leader. (8:125)

What have we learned from experience about the characteristics of leaders? To begin with, seemingly endless lists of desirable leader traits, each based on personal opinion, underscore the need for more objectivity in drawing lessons learned. Since scientific experiments are virtually impossible under combat conditions, how can we learn from history in a more objective, i.e., less speculative, manner? Van Fleet and Yukl suggest, if controlled scientific studies are not possible, that we use other methods, such as content analysis of interview protocols, diaries, critical incidents, autobiographies, journals, and other documents, both historical and current. (13:100)

A content analysis of the direct observations of major military historians or theorists, for example, Sun Tzu, Clausewitz, Jomini, du Picq, Liddell Hart, J.F.C. Fuller, S.L.A. Marshall and Dupuy and Dupuy, would be a good place to start. They are considered to be among the most insightful of all observers of the military art. They also may be considered collectively as the creators of the heroic leader or warrior stereotype. Each had years of conditioning in war and thorough

knowledge of military history. They made direct observations of good and poor leadership examples in combat, and many conducted interviews with acknowledged combat leaders. Other military historians, such as John Keegan and William Wood, have also conducted content analyses of a sort and offered widely acclaimed insights. These data are certainly less scientific than desired, but they are the best available.

Sun Tzu's observations on the art of war seem as timeless today as when written in China more than 2,000 years ago. According to him, a general should possess these qualities: wisdom, sincerity, humanity, courage, strictness, serenity, inscrutable, impartial and self-controlled.

(24:65,136) By humanity, he meant that a general should regard his men as his own beloved sons and that "the general must be the first in the toils and fatigues of the army." (24:128) He also would include the quality we call "selflessness":

And therefore the general who in advancing does not seek personal fame, and in withdrawing is not concerned with avoiding punishment, but whose only purpose is to protect the people and promote the best interests of his sovereign, is the precious jewel of the state. (24:128)

Clausewitz's concept of military leadership is rooted in Napoleonic warfare. It reveals his ideal of an effective combat leader:

Excellent military leadership occurred when an individual, surrounded by doubt and uncertainty, made proper decisions and possessed the courage to ensure his ideas went into action...The excellent leader had the ability to see through the psychological fog to determine the true nature of events, never assume them to be something they were not or allowing wishful thinking to obscure his analysis...A second part of excellent leadership included the courage to turn decisions into positive action. For Clausewitz, physical

courage, moral courage, determination and boldness were all forms of courage.... (25:39)

In addition to judgment and courage, Clausewitz also considered other personality traits to be essential in a combat leader: strong and intense, strength of will, self-control, intellect and well-educated. (25:31-37)

It is the impact of the ebbing of moral and physical strength, of the heart-rending spectacle of the dead and wounded, that the commander has to withstand--first in himself, and then in all those who, directly or indirectly, have entrusted him with their thoughts and feelings, hopes and fears. As each man's strength gives out, as it no longer responds to his will, the inertia of the whole gradually comes to rest on the commander's will alone. (26:104)

Jomini, who was also deeply influenced by Napoleonic warfare, believed certain leadership traits were as important to a combat leader as the knowledge of his principles of war.

The most essential qualities for a general will always be as follows: First, a high moral courage, capable of great resolution. Secondly, a physical courage which takes no account of danger...It is not necessary that he should be a man of vast erudition. His knowledge may be limited, but it should be thorough, and he should be perfectly grounded in the principles at the base of the art of war. (27:56)

The necessary leadership traits included such personal qualities as gallantry, justness, firmness, devotion, sagacity, pride, self-esteem, honor, loyalty, resiliency, genius, initiative, force, calmness, composure, innovation, personal involvement and the ability to overcome adversity. Jomini also recommended several other prerequisites of command leadership: knowledge of your enemy, leading by example, executing a plan with vigor, knowing how to profit from a victory and seeing the big picture. (28:23-24)

Ardant du Picq, a French military officer and theorist in the latter part of the last century, held certain traits to be essential to effective leadership: courage, decisiveness, concern for troops' welfare, judgment and foresight. (29:120, 182, 211, 225) In addition, he observed:

... (Leaders) are strong enough to overcome their emotion, the fear of advancing, without even losing their heads or their coolness. Fear with them never becomes terror; it is forgotten in the activities of command. He who does not feel strong enough to keep his heart from being gripped by terror, should never think of becoming an officer. (29:120)

B.H. Liddell Hart, deeply moved by his combat experiences as a British officer in World War I, believed a combat leader possesses many important characteristics: vision to see the true objective, the willpower to pursue it, self-discipline to settle for only the objective he has the wherewithal to achieve, decisive in planning, originality, willingness to change consistent with the objectives and self-confidence. A leader should also be a master psychologist to foster morale. (30:17-22) He also believed: "These two qualities of mental initiative and a strong personality, or determination, go a long way towards the power of command in war--they are indeed the hall-mark of the Great Captains." (31:193)

J.F.C. Fuller, also a British officer who served in World War I, believed that the art of generalship relied on three pillars: courage (physical and moral), creative intelligence and physical fitness. (32:35) Other personality traits important to him included: perseverance and determination

or the will to win, common sense, self-control, magnimity, humility, sagacity, kindness, impartiality, foresight, imagination, logic, confidence, cunning, tact, reliance on religion, flexible, open-minded, physically fit and technically proficient. (33:45-46)

S.L.A. Marshall, an American officer, interviewed numerous soldiers and leaders following combat incidents during World War II. In the Armed Forces Officer, which he wrote under contract for the military services to use as a leadership manual, he identified several characteristics of combat leaders:

They excelled because of a superior ability to make use of the brains and command the loyalty of well-chosen subordinates. Their particular function was to judge the goal according to their resources and audacity, and then to hold the team steady until the goal was gained...The laurel goes to the man whose powers can most surely be directed toward the end purposes of organization...character is at all times at least as vital as intellect, and the main rewards go to him who can make other men feel toughened as well as elevated. Quiet resolution. The hardihood to take risks. The will to take full responsibility for decision. The readiness to share its rewards with subordinates. An equal readiness to take the blame when things go adversely. The nerve to survive storm and disappointment and to face toward each new day with the scoresheet wiped clean, neither dwelling on one's successes nor accepting discouragement from one's failures. In these things lies a great part of the essence of leadership, for they are the constituents of that kind of moral courage that has enabled one man to draw many others to him in any age. (34:230-231)

Marshall also noted other desirable characteristics: look the part (including both military bearing and correctness of attire), natural and sincere, bold and inspiring communicator, self-controlled, considerate, thoughtful, sense of humor, initiative and expert knowledge. (34:58, 231-234)

R.E. Dupuy & T.N. Dupuy, American soldiers writing about



American soldiers up through the Korean War, observed that leaders in combat should be: self-reliant, strong-minded, competent, decisive, prompt, individualistic. These leaders should also possess initiative, drive, aggressiveness, forcefulness, courage, perseverance, determination in adversity, an understanding of human nature, or the ability to inspire others to fight and work together and military knowledge and skill. (35:350-354) They further stressed:

...men in great danger, and fearing for their lives, responded instantly to the voice of authority--known, respected, and a bit awesome...the response came because they were inspired--not persuaded--by the powerful personality as well as the authority of the individual giving the orders.

Fundamentally, we see nothing in the development of modern weapons to change the basic pattern of military leadership. So long as humans strive to kill and conquer one another, and regardless of the complexity of motives and of implements, the qualities of the leader must remain those which have been essential since the dawn of history, and which have so clearly demonstrated their validity in this country since the Revolution. (35:353)

William Wood, a military historian, assessed the attributes and qualities of leaders in selected battles over 2600 years. He intentionally did not include any battles involving the "Great Captains." He identified five recurring attributes: courage, will, intellect, presence and energy. In his judgment, these qualities in a leader would best facilitate overcoming the dynamic forces of battle--danger, chance, exertion, uncertainty, apprehension, and frustration.

(36:302-308) "Fortunately for commanders in the past all six dynamics have rarely appeared in a concerted combination in a single battle...Avoiding that accumulation is an essential

element of the art of leadership." (36:3-6)

John Keegan, a widely respected military historian, based his concept of the "heroic leader" on successful military leaders in history. He characterizes the heroic leader as aggressive, invasive, exemplary and a risk-taker. Like the leadership researchers, he also observed that the appropriate leader characteristics are the ones required by the followers and situation.

What is interesting about heroic leaders--champions of display, of skill-at-arms, of bold speech but, above all, of exemplary risk-taking--is not to show that they possessed unusual qualities, since that may be taken for granted, but to ask how the societies to which they belonged expected such qualities to be presented. Heroic leadership--any leadership--is, like priesthood, statesmanship, even genius, a matter of externals almost as much as of internalities. The exceptional are both shown to and hidden from the mass of humankind, revealed by artifice, presented by theatre...In no exceptional human being will it be stronger than in the man who must carry forward others to the risk of their lives...The leader of men in warfare can show himself to his followers only through a mask, a mask that he must make for himself, but a mask made in such a form as will mark him to men of his time and place as the leader they want and need. (3:9-11)

Government is complex; its practice requires an endless and subtle manipulation of the skills of inducement, persuasion, coercion, compromise, threat and bluff. Command, by contrast, is ultimately quite straightforward; its exercise turns on the recognition that those who are asked to die must not be left to feel that they die alone...The successful leader...is the person who has perceived command's imperatives and knows how to serve them...the cultivation of a sense of kinship, the use of sanction, the force of example, the power of prescription, the resort to action.... (3:314-315, 351)

By the "sense of kinship," Keegan means creating a bond of kinship between leaders and their followers by leaders "surrounding themselves with men who posed no threat to their primacy yet were of sufficiently soldierly quality to command

the army's respect." (3:318) Kinship also serves another function for commanders. "Their intimates fulfilled the role on the one hand of remembrancers to the commander of his responsibility for the army's welfare, and on the other of witnesses to the army of the commander's concern for it."

(3:318) The "use of sanction," the "force of example" and the "resort to action" are self-explanatory. By the "power of prescription," Keegan means: "He must also know how to speak directly to his men, raising their spirits in times of trouble, inspiring them at moments of crisis and thanking them in victory." (3:318)

Collectively, the military historians have created the concept of the heroic leader and warrior, yet none identified precisely the same list of characteristics. In fact, the number of characteristics identified by each historian varied widely. Figure III.2 compares the characteristics observed by the military historians. The most frequently identified characteristics were: courageous, decisive (including impartial and judgment), compassionate (concern for the troops), initiative (determined and persistent), strong will, self-confident, self-control, competent and intelligent (vision).

#### American Combat Leaders

Wars may be fought by weapons, but they are won by men. It is the spirit of the men who follow and of the man who leads that gains the victory. (2:406)

(General George S. Patton)

The military services strongly emphasize the study of

## MILITARY.

## CHARACTERISTICS

[illegible]

### Figure III.2. Characteristics According to Military Historians

military leaders to understand the relationship of their characteristics and leadership. Many military leaders have provided their views on the important characteristics of leaders in combat and, thus, have perpetuated the concept of the heroic leader and warrior stereotype. Figure III.3 presents a summary of the leader characteristics recommended by acknowledged American military leaders with extensive combat experience in modern warfare. Again, a common conception is not depicted; none described a similar list of characteristics. Some cited only a few, while others specified numerous characteristics. A possible reason for the variability is that these military leaders are as different as the characteristics they recommend. These combat leaders most often recommended the following characteristics: courageous, integrity, energetic (including spirited, endurance), compassionate (concerned for the troops) and judgment (decisive, objective).

#### Military Services

Military services have long studied leadership and combat leaders in the attempt to identify potential combat leaders. As the reader may recall, the personnel testing and selection programs begun in World War I sought to identify the distinguishing characteristics of leaders for combat.

After World War II, an international group was convened to try to determine why some men performed well in combat while others did not...to ascertain what qualities make up leaders whom troops will obey. The group concluded that leadership was not predictable; before troops were 'bloodied and gutted,' no one could say who would be a natural leader. (50:78-79)

Nonetheless, the leader characteristics the services

CHARACTERISTICS	M I L I T A R Y					L E A D E R S					
	ARNOLD	BRADLEY	EAKER	EISEN- HOWER	FLYNN	LEMAY	MAC ARTHUR	PATTON	RIDGWAY	STOCK- DALE	TAYLOR (MAXWELL)
Intellectual Skills											
Articulate, Bold Speech	X		X								X
Decisive			X								
Impartial, Just, Strict	X			X	X						
Judgment, Wise	X	X					X		X		X
Intelligent, Analytical, Logical			X								X
Common Sense									X		
Vision, Foresight	X	X									
Interpersonal Skills											
Concerned for Troops, Humane,	X	X		X	X	X	X	X	X	X	X
Compassionate, Kind, Loyal											
Humorous											
Persuasive, Inspiring			X						X		X
Selfless, Humble				X			X	X	X	X	
Tact									X		
Trust, Faith	X										
Technical Skills											
Competent, Skilled at Arms	X	X	X	X					X		X
Personality Attributes											
Adaptable, Flexible		X				X	X				
Aggressive, Invasive, Risk-taker		X									
Clever, Cunning											
Courageous, Bold, Daring		X	X		X		X	X	X	X	X
Creative, Imaginative		X					X	X			
Energetic, Spirited		X	X	X	X		X	X			
Hard Worker, Endurance, Stamina,	X		X						X		
Physically Fit	X		X								
Exemplary, Sets Example		X						X			
Inscrutable											
Integrity, Honesty, Candor,	X	X		X	X		X		X	X	X
Ethical Conduct											
Sincere				X						X	
Initiative											
Persistent, Determined						X			X	X	X
Lucky		X	X						X		
Responsible, Dependable		X	X	X					X	X	X
Committed							X	X	X		
Self-confident								X			
Presence, Bearing		X							X		X
Proud											
Self-controlled, Self-disciplined,							X				
Mature									X	X	X
Serene, Coolness under Stress											
Will, Forcefulness		X					X				
Source:	(37:)	(2:)	(38:)	(40:)	(43:)	(44:)	(1:)	(46:)	(47:)	(48:)	(49:)
			(39:)	(41:)		(45:)					
				(42:)							

Figure III.3. Characteristics Recommended by Combat Leaders

have distilled from experience and theory are numerous. These characteristics are documented in the services' leadership manuals. Though none of the services draw any distinction between desirable characteristics in peacetime versus combat, one would have to presume that the services are selecting characteristics to serve combat requirements first.

The Air Force considers six characteristics vital for leaders: integrity, loyalty, commitment, energy, decisiveness and selflessness. The Air Force list is the shortest of the services because it maintains that that "many characteristics...are expected of all members of the military profession." (11:3-7)

The Army believes its leaders should possess numerous traits: courage, competence, candor, commitment, integrity, maturity, will, self-discipline, flexibility, confidence, endurance, decisiveness, coolness under stress, initiative, justice, self-improvement interests, assertiveness, compassion, sense of humor, creativity, bearing, humility and tact. The Army considers even this lengthy list to be incomplete. (8:120-125)

The Marine Corps doctrine "demands" that leaders have professional competence and be men of action, intellect, responsibility, boldness, initiative, trust and honesty. (31:44-46)

The Navy also has a lengthy list of characteristics a naval officer should possess: integrity, judgment, imagination, analytical ability, impeccable personal behavior, military

bearing, forcefulness, speaking and writing ability, self-improvement, tact, dependability, sense of humor, pride, expertise, self-discipline, physical and mental stamina, selflessness and hard work. (50:26-91)

Figure III.4 compares the leader characteristics recommended by the military services. All military services recommended: energetic and integrity. Three of the services recommended: selfless and competent. At least two of the services endorsed most of the remaining characteristics in Figure III.4.

The concept of the heroic leader, including the martial stereotype, has long been considered the role model for potential combat leaders to emulate. However, an examination of the conceptions of many of the most important military historians (who collectively created the concept), several of the most famous American combat leaders, and all of the military services (Figures III.2 through III.4) demonstrates little agreement on the specific characteristics of the ideal combat leader. In fact their conceptions reflect as broad a variability as is witnessed in the "Great Captains" and other military leaders. Figure III.5 compares the findings within and between these three groups of observers.

While the results of this comparison are anything but unanimous, a broad conclusion is possible. A consensus has formed around selected intellectual, interpersonal and technical skills combined with several personality attributes. The most frequently identified characteristics are: courage, competent,



CHARACTERISTICS	MILITARY SERVICES			
	AIR FORCE	ARMY	MARINES	NAVY
Intellectual Skills				
Articulate, Bold Speech				X
Decisive	X	X		
Impartial, Just, Strict		X		
Judgment, Wise				X
Intelligent, Analytical, Logical			X	X
Common sense				
Vision, Foresight				
Interpersonal Skills				
Concerned for Troops, Humane,	X	X		
Compassionate, Kind, Loyal				
Humorous		X		X
Persuasive, Inspiring				
Selfless, Humble	X	X		X
Tact		X		X
Trust, Faith			X	
Technical Skills				
Competent, Skilled at Arms		X	X	X
Personality Attributes				
Adaptable, Flexible		X		
Aggressive, Invasive, Risk-taker		X		
Clever, Cunning				
Courageous, Bold, Daring		X	X	
Creative, Imaginative		X		X
Energetic, Spirited	X		X	X
Hard Worker, Endurance, Stamina,		X		X
Physically Fit				
Exemplary, Setting Example				
Inscrutable				
Integrity, Honesty, Candor,	X	X	X	X
Ethical Conduct				
Sincere				
Initiative		X	X	
Persistent, Determined				
Lucky				
Responsible, Dependable			X	X
Committed	X	X		
Self-confident		X		
Presence, Bearing		X		X
Proud				X
Self-controlled, Self-disciplined,		X		X
Mature				
Serene, Coolness under Stress		X		
Will, Forcefulness		X		X

Figure III.4. Characteristics Desired by the Military Services

CHARACTERISTICS	NUMBER IDENTIFYING THE TRAIT		
	MILITARY HISTORIANS (N=10)	COMBAT LEADERS (11)	MILITARY SERVICES (4)
Intellectual Skills			
Articulate, Bold Speech	2	3	1
Decisive	3	1	2
Impartial, Just, Strict	3	4	1
Judgment, Wise	6	5	1
Intelligent, Analytical, Logical	5	2	2
Common sense	1	1	
Vision, Foresight	3	2	
Interpersonal Skills			
Concerned for Troops, Humane,	7	10	2
Compassionate, Kind, Loyal			
Humorous	1		2
Persuasive, Inspiring	2	3	
Selfless, Humble	2	4	3
Tact	1	1	2
Trust, Faith	1	2	1
Technical Skills			
Competent, Skilled at Arms	5	6	3
Personality Attributes			
Adaptable, Flexible	2	3	1
Aggressive, Invasive, Risk-taker	3	1	1
Clever, Cunning	1		
Courageous, Bold, Daring	6	8	2
Creative, Imaginative	3	2	2
Energetic, Spirited	3	7	3
Hard Worker, Endurance, Stamina,	2	4	2
Physically Fit			
Exemplary, Setting Example	3	2	
Inscrutable	1		
Integrity, Honesty, Candor,	2	8	4
Ethical Conduct			
Sincere	2	1	
Initiative	4		2
Persistent, Determined	6	3	
Lucky		3	
Responsible, Dependable	1	5	2
Committed	1	3	2
Self-confident	4	3	1
Presence, Bearing	2	1	2
Proud	1	1	1
Self-controlled, Self-disciplined,	8	3	2
Mature			
Serene, Coolness under Stress	3		1
Will, Forcefulness	6	2	2

Figure III.5. Comparison of Combat Leader Characteristics.

concern for the troops, judgment (decisive), energetic (spirited), integrity, self-control, will, selfless and intelligent. All of the characteristics in Figure III.5 were replicated across the three categories of observers except: persuasive, clever, inscrutable, lucky and serene. "Persuasive" and "serene" were identified by two categories of observers; thus, we will retain them on the list of distinguishing characteristics. We will drop the other three characteristics--clever, inscrutable and lucky--since they were only identified by a single individual.

#### Comparison of Leaders in Peace and Combat

We will now compare and contrast traits and skills against criteria for effective leadership in peace and combat. As displayed in earlier figures, universal agreement on the distinguishing characteristics does not exist either for leaders in general (whom we have assumed resemble military leaders in peacetime) or combat leaders. However, many characteristics have been correlated with leaders in scientific studies.

As a summary, Figure III.6 provides a comparison of the characteristics of leaders in the peacetime military and in combat. Each of the characteristics identified in Figure III.6 has been validated and replicated by two or more of our researchers or observers. The characteristics of leaders in different contexts agree to a surprising degree. Leaders in general--and thus presumably military leaders in peacetime--and combat leaders share 20 of the 26 characteristics listed in Figure III.6. All characteristics except exemplary and selfless

CHARACTERISTICS	PEACETIME MILITARY	COMBAT
Administrative Skills		
Organized	X	
Intellectual Skills		
Articulate, Fluent in Speaking	X	X
Decisive, Judgment, Objectivity, Tough-mindedness	X	X
Intelligent, Conceptual, Analytical, Vision	X	X
Interpersonal Skills		
Alert to Social Environment, Insight to Followers' Needs, Humane, Compassionate	X	X
Cooperative	X	
Diplomatic, Tactful	X	X
Persuasive, Inspiring	X	X
Selfless, Humble		X
Social Initiative/Competence	X	
Technical Skills		
Knowledgeable about Group Tasks	X	X
Task Competent, Able	X	X
Personality Attributes		
Adaptable, Flexible	X	X
Achievement/Task Completion-Drive, Initiative, Desire to Excel, Persistent, Motivated	X	X
Aggressive, Assertive	X	X
Clever, Resourceful, Cunning	X	
Courageous, Daring	X	X
Creative, Originality	X	X
Dominant, Desire to Influence Others, Strength of Conviction/ Will, Independent	X	X
Emotional Balance & Control, Mature, Well-adjusted	X	X
Energetic, High Activity Level, Enthusiastic, Active Participant	X	X
Exemplary, Setting Example		X
Integrity, Ethical Conduct	X	X
Responsible, Willingness to Assume and Drive for Responsibility, Dependable	X	X
Self-confident	X	X
Tolerant of Stress	X	X

Figure III.6. Leader Characteristics for Peace and Combat

have been correlated with military leaders in peacetime. Combat leaders have been characterized by all except organized, cooperative, social initiative and clever. Students of military history could readily offer instances in which combat leaders displayed even these four uncorrelated characteristics. This would miss the point though. These differences are minor, and many would say inconsequential.

The fundamental point is that leaders in all contexts can be distinguished from followers on the basis of personal characteristics. These characteristics may be broadly grouped into personality attributes and intellectual, interpersonal and technical skills. No single composite always leads to success. Individual leaders obviously do not possess all of these characteristics. Nor do they display all of the characteristics they do possess in every situation. The specific mix of characteristics displayed appears to vary with the requirements of the group and the situation. It is also likely that more than one mix of leader characteristics could contribute to leadership effectiveness in any given situation.

Some of the variance in leadership is due to the situation, some is due to the person, and some is due to the interaction of person and situation. Sometimes, personal traits are paramount. For example, assertiveness and initiative are dominant in effect in most situations. Sometimes, the situation is the prime determinant. Any person at the center of a communications network is likely to exert more leadership than any person at the periphery. Sometimes, it is a combination effect: the right person, in the right place, at the right time. (10:xiii)

We should not attempt to stretch the conclusions. Some hypotheses remain open. For instance some characteristics, like

courage and integrity, may appear more frequently among combat leaders than leaders in general. However, a plausible explanation would be that the disparity is attributable, in the case of courage at least, to the difference in opportunities, both in number and type (physical, moral, emotional, intellectual dimensions), to display courage in the combat versus civilian contexts.

Another unproven hypothesis is that the nature of the characteristic itself differs by type of leader. As an example, some postulate that combat leaders are motivated by self-sacrifice in the pursuit of a larger purpose that serves the common good, while other leaders are motivated by self-interest. It is difficult to measure this difference in motivation and link it to personality type, much less complex behavior like leadership. Similar problems are encountered in measuring the dimensions of how people think about work, goals, people and themselves. Research is lacking in this area. Even assuming an empirical test can be devised, the results would be of questionable validity since they would have to be based on the accuracy of self-reported responses.

Further, we may expect that perceived characteristics will differ from measured characteristics, according to Lord. In every case, the perception of followers is likely to be more important than<sup>n</sup> what is motivating a leader or how the leader is thinking about work, goals or people. In view of the results presented, it is clear that followers perceive little difference among the characteristics of various types of leaders. Research

has not provided any evidence that personal characteristics dominate behavior or even that the two are correlated. Since leaders in different environments appear to share many of the same characteristics, other variables would have to account for any perceived difference in behaviors and attitudes by military leaders in peacetime and combat. Perhaps one of the leader characteristics that are directly translated into leader behavior in a given situation matter. In other words, what a leader does may be more important than what a leader is.

These results are consistent with Van Fleet and Yukl's comparison of business and military leaders. They found, as discussed earlier, that leaders in different contexts--business and military--share common characteristics. Lord also found similar characteristics among leaders in various environments--government, business and education. (52:403) These results are also consistent with Lord's theory that personal characteristics are related to the perception of leadership potential by followers and emergence as a leader. Bass's research review provides further support for the theory that characteristics are relevant to leader emergence. In other words, the characteristics that facilitate the perception of leadership potential in one context are often the same as in other contexts.

The conclusion that personality is a factor in leadership differentiation does not represent a return to the trait approach. It does represent a sensible modification of the extreme situationist point of view. The trait approach tended to treat personality variables in an atomistic fashion, suggesting that each trait acted singly to determine leadership effects. The situationist approach, on

the other hand, denied the influences of individual differences, attributing all variance between persons to fortuitous demands of the environment...Both individual traits and situational assessments as well as the interaction between them are important, and that was Stogdill's main thesis. (10:43)

#### Characteristics for Peace and Combat

After this review, one can understand why there are so many different lists of desirable traits in a leader. With our present knowledge of leadership, we can offer, at best, intuitive guesses about leader characteristics. Scientific research has not proven a cause-and-effect relationship between any specific characteristic of leaders and group outcomes. Research has shown only that certain individual traits are *correlated* or associated with many leaders. The existence of a correlation merely indicates that the characteristic is found in leaders; it does not establish that the characteristic bears any relationship to group outcomes. Moreover, the degree of correlation in this area of research is not very large, indicating that the identified characteristics are not consistently found in even the majority of leaders. Thus anyone may generate a list of leader traits without fear of contradiction.

...the research has demonstrated over and over that we must not think rigidly or mechanically about the attributes of leaders. The attributes required of a leader depend on the kind of leadership being exercised, the context, the nature of followers, and so on. (18:53)

In broad terms then, we have found general agreement between the scientists and other commentators on the characteristics of leaders that distinguish them from followers.



The list is long. To say that they are all important is tantamount to saying nothing. How do these distinguishing characteristics help us to design and defend a set of traits for military leadership in both peace and war? We must decide which characteristics are absolutely essential to the criteria for effective leadership in both environments. Though the situations differ, the test for effective leadership is the same in peace and combat.

The real test of leadership lies not in the personality or behavior of the leaders, but in the performance of the groups they lead. Groups, when free to do so, appear to select as leaders members who create the expectation that they will be able to maintain goal direction, facilitate task achievement, and ensure group cohesiveness. Whether objectives are long-term to develop the group or short-term to maximize current performance will make a decided difference. The behaviors furthering task accomplishment are not necessarily the same as those fostering cohesiveness. Some leaders are extremely effective in furthering task achievement. Others are exceptionally skilled in the art of building member satisfaction and intermember loyalty, which strengthen group cohesiveness. The most valued leaders are able to do both. (10:598)

Based on this research project, the characteristics listed in Figure III.6 provide a basis for selecting and developing leaders both in peace and in combat. The dominant characteristics in both environments are likely to cluster around motivation and task competence. One must be motivated to participate in group activities and motivated to assume responsibility to emerge as the group's leader. Leaders must demonstrate competence in the group's goal direction, task accomplishment and cohesion to sustain their role as leader. Some combination of the other intellectual, interpersonal and technical skills and personality attributes should reinforce

these dominant characteristics, aiding in the perception of leadership potential. The relative priority of these skills and attributes depends on the type and level of organization and the situation. None of these characteristics are guarantors of group success, rather they are facilitators of the perception of leadership potential. With our present understanding of leadership, this is a reasonable, realistic conclusion with broad support in the scientific and military communities.

Meanwhile, it would be misleading to depict this list as a composite of the ideal leader. It is beyond the reach of most leaders to display each of the many characteristics correlated with leaders. In fact many leaders, current and past, military and civilian, would not fare very well when measured against the characteristics in Figure III.6. History is proof that followers do not demand that they do; they only seek leaders who can fulfill their needs and goals. It is for the leader, in pursuit of the group's objectives, to determine what followers want and need. Then the leader, with the understanding that there is usually more than one path to success, must determine which characteristics should be emphasized to sustain the group and contribute to the desired group results.

Are there certain "warrior" traits that serve the armed forces well in war but are counterproductive to leadership in peace? In the conceptions of the military historians, American combat leaders and the military services, the answer would have to be: "No." Indeed the only characteristics possessed by combat leaders and not shared by other leaders are selfless and

exemplary. One could easily argue that these two characteristics would be most beneficial to all leaders and anything but counterproductive in peacetime.

Leadership defined in terms of individual personality characteristics has been the Army's leadership emphasis.

(53:205) Many would argue that this is true of the other military services as well. In studying the traits displayed by the great leaders from Alexander to Patton, the other variables in the leadership process are addressed in an haphazard fashion, if at all. Military education encourages leaders to adopt and personalize the "Great Captain" characteristics that reinforce their style and self-image as if this alone will produce effective leadership. The emphasis is on what leaders are, not what they do. Leadership in terms of the interaction of the variables in the models presented in Chapter II is a more appropriate conception and deserves more emphasis from the military services. (53:205)

Research designed solely to isolate the characteristics of leaders has reached the point of diminishing returns...Nevertheless, personality is now to be seen as interacting with situational variables to account for leadership and group performance. (10:604)

Leadership has been treated as a more subjective topic than it need be or should be. Though it is an art, we know a great deal about leadership, both in general and in combat. We can apply this knowledge to training and development in a comprehensive manner. Leadership is turning vision into reality. Leaders are the change agents. As change agents, leaders perform certain functions, such as creating the vision

and developing the team. Like management, leadership has a process and functions that can be studied. (16:11) Researchers like Yukl and Hunt have developed conceptual frameworks useful for this study.

It is one thing to say we know nothing because we do not obtain consistent results. The lack of consistency may be attributable to the lack of knowledge. Yet, it may be that to achieve consistency of results requires accounting for a complexity of variables and as we do so we increase our understanding of what is happening. (10:617)

Until science transforms our theory of leadership and perhaps enables the use of the scientific approach, the case method offers an excellent method of leadership training. It is focused on solving problems. Leaders are concerned with the problem of exercising leadership in given situations. Their interest is more than academic; it is pragmatic. Out of necessity, they must consider the interaction of all the variables involved in the conceptual framework for each problem in turn. A general "cook-book" solution has little, if any, application. The unit of analysis, therefore, should be the leadership problem itself, not the leader. (54:65)

The case method is analytical. Students of leadership would discover the "lessons learned" by analysis of the what, why and how of the leader's efforts in particular situations. They would address how these efforts interacted with other relevant variables and what were the results. Given a more complete picture of the leadership process in action, students could improve their analysis, synthesis and understanding of how their efforts might vary from one broad category of situations

## CHAPTER IV

### LEADER TRANSITION FROM PEACE TO COMBAT

#### From Effective Manager to Combat Leader?

Can an "effective manager" become a warrior leader when challenged by combat? The answer depends, in part, on the definition and characteristics of a manager. Janowitz was one of the first to distinguish between leaders and managers. He argued that the balance in the officer corps has shifted from heroic leaders (warriors) to military managers and technologists (who are a type of manager). A basic assumption used in the last chapter is that military leaders in peacetime resemble leaders in general--who are primarily civilian--because they have adopted so many civilian behaviors, business practices, thought processes, values, etc. This assumption is implied in the project's thesis--that combat leaders require different traits and skills than military leaders in peacetime. However, even allowing the thesis the benefit of this assumption did not yield significant differences in the characteristics of various types of leaders.

The thesis implies a further assumption: that leaders in general have become managers as opposed to leaders. In 1977, Zaleznik, in his award-winning article, *Managers and Leaders: Are They Different*, argued that managers had replaced leaders in business and stood ready to in government, education, health

care and other institutions. He believes managers and leaders differ in personality, attitudes towards goals, conceptions of work, relations with others and senses of self. "It takes neither genius <sup>or</sup> heroism to be a manager, but rather persistence, tough-mindedness, hard work, intelligence, analytical ability and, perhaps most important of all, tolerance and good will." (7:4-81) Leaders have imagination, can visualize purpose, generate value in work and can communicate both purpose and value to group members. In setting goals, managers are impersonal and reactive, while leaders are personal, active and influencers. In conceptions of work, managers limit options and seek survival; leaders generate new options and seek risk and reward. Concerning relations with others, managers are social, have low emotional involvement, and are perceived as inscrutable, detached and manipulative. Leaders are solitary and generate strong emotional responses--love or hate. Concerning senses of self, managers are at home and in harmony with their environment, while leaders have a profound sense of separateness. (7:4-81 - 4-85)

Subsequently many distinctions have been drawn between leaders and managers. The most common distinctions discussed in the Air Force include:

Leadership is of the spirit, compounded of personality and vision. Its practice is an art. Management is of the mind, more a matter of accurate calculations, statistics, methods, timetables, and routine. Its practice is a science. Managers are necessary, but leaders are essential. (British Field Marshall Lord Slim) (11:15)

Leaders are invariably good managers, but managers are rarely good leaders. (Major General Perry Smith, USAF) (56:9)

*"Managers are people who do things right and leaders are people who do the right thing. The difference may be summarized as activities of vision and judgment--effectiveness versus activities of mastering routines--efficiency."* (Bennis and Nanus) (12:21)

In battle, when soldiers die--and in battle, some must--they cannot be *managed* to their deaths. They must be *led* there. You *manage* machines and programs and budgets. You *lead* men. *Managers* don't take battlefield risks. *Leaders* do. *Managers* work with things and numbers. *Leaders* work with people and feelings. (Colonel Dandridge M. Malone, USA) (56:30)

Efforts to distinguish among management, leadership and command are usually a waste of time; management is a generic term that also subsumes command and leadership. (Air Force Publication) (57:viii)

The various schools of thought on this issue are evident in these quotes. For some, management and leadership, and thus leaders and managers, are synonymous terms. Others agree with Zaleznik, leaders and managers are different types of people. It is as if leader and manager are opposite poles of the same scale, like introvert versus extrovert. Leaders and managers may share some characteristics on supporting scales, like persistence, tough-mindedness and intelligence. But they are different in key aspects of personality, especially in attitudes and interpersonal relations, and these are the critical components in measuring the construct of the leader versus manager type. Since the construct is a single scale, one must be either a leader or a manager, but not both. This school, then, would say that a manager must give up being a manager in order to become a leader. Only thus could a manager become a

leader.

Another school of thought sees management and leadership as complementary abilities. It is as if each individual can be measured on two scales that, when combined, measure a larger construct, like speaking ability and writing ability are component measures of communicative ability. Some in this school espouse one or the other ability as superordinate, that is, leadership is a part of management or vice versa. In Janowitz's concept, the same officer can fuse the roles of a heroic leader and military manager. (5:424) This school would argue that a manager can become a leader.

In spite of the interest in this subject, social scientists have yet to provide conclusive objective proof for either school of thought. After wrestling with this issue for several decades, they have not been able to construct an empirical definition that distinguishes between leaders and managers. Nonetheless, limited research has proceeded. The research thus far simply defines a manager as one who occupies a managerial position--acknowledging the difficulty of making distinctions between leaders and managers. This definition, of course, ignores the significant possibility that leaders occupy some of the managerial positions selected. The mixing of leaders and managers in the same sample suggests that research on their differences would be inconsistent and inconclusive. However, if one accepts Zaleznik's argument that managers have replaced leaders, conclusions about the characteristics of managers can be drawn from this research.



Research on the characteristics of managers shows a significant degree of consistency in its results. Bray, Campbell & Grant, in a study conducted at American Telephone & Telegraph, identified many characteristics of managers: oral communication skill, human relations skill, planning-organizing skill, creativity, desire for advancement, resistance to stress, tolerance of uncertainty, energy/activity level, range of interests, inner work standards and readiness to make decisions. (14:178) Similar to a key finding in the leadership research, they concluded: "An important discovery...at AT&T was the effect of the job situation on the relevance of individual traits for managerial success." (14:178)

Dunnette found these managerial characteristics: energy level, organizing and planning skills, interpersonal skills, cognitive skills, work-oriented motivation and personal control of feelings and resistance to stress. (14:179)

McCall & Lombardo also identified these characteristics of managers: emotional stability and composure, acceptance of responsibility, interpersonal skills, technical and cognitive skills. (14:180)

Boyatzis found these managerial characteristics: concern for task objectives, high inner work standards, high achievement motivation, assertive, attempting to influence others, accepting responsibility, self-confidence, decisive, appropriate poise and bearing, oral presentation skill, conceptualization and interpersonal skills. (14:181-182)

A Wall Street Journal/ Gallup survey of 782 chief

executives found: "People who have made it to the top say the three most important personal traits needed to advance are rather simple virtues: integrity, industriousness and the ability to get along with people." Other important managerial characteristics mentioned were: intelligence, business knowledge, imagination, creativity, judgment, dedication, honesty, self-reliance and hard work. (58:33)

Few have undertaken research directly intended to prove the hypothesis that leaders and managers are different. In one widely cited study, Bennis interviewed 90 leaders and their subordinates to determine the difference between leaders and effective managers. He identified four competencies common to all 90 leaders: management of attention, meaning, trust and self. Management of "attention" is the creation of organizational focus through articulation of the leader's vision. Management of "meaning" is the capacity of the leader to organize and influence meaning for the members of the organization. Management of "trust" means establishing trust with followers by organizing the actions necessary to realize the vision and then staying the course. Management of "self" is the development of positive self-regard. (12:28, 39, 46, 61-62)

Our ninety leaders do resemble each other. They all have the ability to translate intention into reality and to sustain it. They all make a sharp distinction between leadership and management by concerning themselves with the organization's basic purposes, why it exists, its general direction and value system. They are all able to induce clarity regarding their organization's vision. They are all able to arouse a sense of excitement about the significance of the organization's contribution to society...And in an era of rapid change, it becomes necessary for the organization to be more future-oriented, more concerned with

selecting the proper direction. This makes leadership all the more necessary.... (12:226-227)

Bennis has made an interesting choice of words in labeling the four competencies. However, his research is of little scientific interest. It is seriously flawed in scientific terms because he did not interview any managers to see whether they lacked these four competencies.

On the basis of the available research data, Figure IV.1 displays the characteristics of managers identified in scientific research. The figure further compares the characteristics of managers with those of leaders in general and combat leaders. The agreement among these three types is significant: of the 26 characteristics, leaders in general display 24, combat leaders 22, and managers 20. The definitional problems and limited research on managers does not support the opposite conclusion that these differences define the distinction between managers and leaders. The differences may have as much to do with the opportunity to display the characteristic as with anything else. These results measure perceptions, not the existence of a trait. However, the results tend to indicate that the commonly accepted characteristics of managers are broadly similar to those of leaders in general, which in turn are similar to the traits of combat leaders. All three types display motivation and competence--the characteristics most likely to be dominant under most conditions.

These results are not surprising since individual

	LEADER	COMBAT LEADER	MANAGER
CHARACTERISTICS			
Administrative Skills			
Organized	X		X
Intellectual Skills			
Articulate, Fluent in Speaking	X	X	X
Decisive, Judgment, Objectivity,	X	X	X
Tough-mindedness			
Intelligent, Conceptual,	X	X	X
Analytical, Vision			
Interpersonal Skills			
Alert to Social Environment,	X	X	
Insight to Followers' Needs			
Cooperative	X		X
Diplomatic, Tactful	X	X	X
Persuasive, Inspiring	X	X	X
Selfless, Humble		X	
Social Initiative/Competence	X		X
Technical Skills			
Knowledgeable about Group Tasks	X	X	X
Task Competent, Able	X	X	X
Personality Attributes			
Adaptable, Flexible	X	X	
Achievement/Task Completion-Drive,	X	X	X
Initiative, Desire to Excel,			
Persistent			
Aggressive, Assertive	X	X	X
Clever, Resourceful, Cunning	X		
Courageous, Daring	X	X	
Creative, Originality	X	X	X
Dominant, Desire to Influence	X	X	X
Others, Strength of Conviction/ Will, Independent			
Emotional Balance & Control,	X	X	X
Mature, Well-adjusted			
Energetic, High Activity Level,	X	X	X
Enthusiastic, Active Participant			
Exemplary, Setting Example		X	
Integrity, Ethical Conduct	X	X	X
Responsible, Willingness to Assume and Drive for Responsibility,	X	X	X
Dependable			
Self-confident	X	X	X
Tolerant of Stress	X	X	X

Figure IV.1. Leader versus Manager Characteristics

characteristics are expected to play a key role in the perception and emergence of managerial ability, as well as any other ability including leadership. The services' interest in trait research is partly based on the premise that combat leaders are different from military leaders in peacetime who have come to resemble managers. These results do not support that assumption. The characteristics of managers and leaders appear to be similar, just as those of combat leaders and leaders in general do.

Zaleznik, whose distinction between leaders and managers, together with Janowitz's, helped frame this debate, repeats again, in his 1989 book, The Managerial Mystique, that people learn to be managers or leaders.

Professional management was born out of necessity. The newly emerging corporation could not sustain the irrationality of autocratic leaders...The heroic, often autocratic personalities at the head of corporations...In...came the dispassionate and coldly clinical professionals. These professionals imposed the managerial order on corporations. They brought what they learned from the business schools, namely, principles of bargaining, emotional control, human relations skills, and the technology of quantitative control. They left behind commitment, creativity, concern for others, and experimentation. They had learned to be managers instead of leaders. (61:39)

Zaleznik issues a call to rediscover leadership to restore the individual as the source of vision and drive in an organization. He would begin with a revision of the managerial mystique being taught in our business schools and practiced in our businesses. (61:6-7) His logic is still that leaders and managers are different personalities. Zaleznik's contrast of managers and leaders paints a picture that is black and white

when in reality few distinctions are that clear. The evidence presented here indicate neither researchers nor followers have perceived the significant differences in the characteristics of managers and leaders that Zaleznik predicts. In practical terms, by overdrawing the distinction, his theory constrains options for selecting, training and developing leaders by reducing the resource pool--one is either a leader or a manager.

While the Air Force emphasizes the distinction between management and leadership, it does not insist that leaders and managers are different. Instead, the Air Force has encouraged adoption of Janowitz's fusion model:

In essence, you lead people and you manage things. The Air Force needs people who can do both. The requirement is for the proper division between the two, with the proportion dependent on the situation. (11:15)

This concept, of course, assumes that managers and leaders possess similar characteristics and that none are mutually exclusive, contrary to Zaleznik's contention. The results of this research project provide evidence of this similarity. Support for the fusion concept is also evident in the impact of "managers," as Zaleznik has depicted modern businessmen, on the improved performance of their businesses through the focus on leadership, such as, Bennis's "vision" strategy for taking charge, and programs like organizational development and Total Quality Management.

Can an "effective manager" become a combat leader? Yes, because leaders and managers share the essential characteristics of motivation and competence as well as most of the

intellectual, interpersonal and technical skills and personality attributes. Janowitz implicitly acknowledged this possibility in characterizing Bradley, a renowned combat leader, as a military manager. Further, he presented other famous combat leaders, such as MacArthur and Ridgway, as examples of the fusion model. Even his examples of the military manager--Arnold, Eisenhower and Marshall--are widely accredited as great military leaders, if not heroic leaders and warriors. As we saw in the last chapter, the conception of the combat leader differed not according to type but rather individually for these officers (including Janowitz's heroic leaders, Lemay and Patton). The variety manifest in these personalities should underscore that there is more than one way to solve most problems, especially complex problems like leadership. The common thread was motivation and competence to fulfill their responsibilities.

Because the military establishment is managerially oriented, the gap between the heroic leader and the military manager has also narrowed...At the middle and upper levels, the same officer must often fuse both roles.... (5:424)

#### Are There Any Warriors Left?

Has the absence of a protracted war since Vietnam resulted in a culling of warriors from our armed forces and the promotion of "effective managers"? Janowitz worries that the fighter spirit which has characterized traditional military leadership, especially at the lower levels, will be extinguished by the shift in balance towards military managers. (5:32)

Janowitz emphasized that: "A successful military establishment

must be run by military managers, but must include...a leaven of heroic leaders." (5:154) Citing the same trends as Janowitz, others argue the fusion model is not working and urge the restoration of the heroic leader:

The shift has been prodded with the advent of the all-volunteer force. It is the consequence as well of a progressive civilianization of the US defense establishment--manifest both in the replacement of military men with civilians and the displacement of military men from their traditional roles. Finally, it reflects an enthrallment with technology that seems to be aiming at the complete mechanization of warfare. If we are to have the military establishment needed to fend against an ever more dangerous global environment, we must urgently rediscover the focus of the military profession and find ways to restore the warrior-leader to the position of honor traditionally accorded him...The fusion model is not working. Its elements evoke behavioral patterns that are too disparate to be mastered effectively by the vast majority of officers. (62:20, 25)

This concern argues that Zaleznik is right--managers are different from leaders, particularly combat leaders. The proof offered is the new organizational structure, not evidence of an observed decrease in the fighting spirit of American servicemen. Aside from the difficulties this presents in explaining the success of military managers like Bradley in combat, we encounter serious problems in defining a "warrior," much like we did with a "manager." Janowitz admits: "The fighter spirit is not easily defined; it is based on a psychological motive, which drives a man to seek success in combat, regardless of his personal safety." (5:32) The most reliable and only empirical definition of a "warrior" has a *de facto* basis--a successful combat veteran is a warrior. As previously discussed, the accepted wisdom--based on research, experience and intuition--is



that combat leaders cannot be identified until "troops are bloodied." The history of warfare offers many examples of officers trained for combat who could not face the challenge of battle. It is also replete with ministers, doctors, lawyers, and others from virtually all walks of life who became warriors when tested.

If a "warrior" can be defined solely in terms of characteristics, then traits like aggressive, courageous, risk-taking, strong will, motivated, competent, are conveyed by the martial stereotype. However, we did not find any common pattern in the conceptions of military historians, combat leaders or the military services on the characteristics of combat leaders, who presumably would fit the definition of a "warrior." In this project, we have assembled the conception of a combat leader from these multiple sources. The consensus concept is clustered around a broad collection of personality attributes and intellectual, interpersonal and technical skills. These results showed little difference between the collective conception of combat leader characteristics and the results of scientific research on other types of leaders. Further, little difference was apparent between the characteristics of managers and leaders in general, and in turn, combat leaders.

Given these results, we could answer the question this way: there is not any evidence that warriors have been culled from the military services and replaced by managers, in view of the similarities in the characteristics of warriors and managers. Both are capable of performing as warriors. However,

these results only pertain to the characteristics of leaders; they do not address the behavior of a leader. As in any form of leadership, the real test of a warrior is performance, not characteristics. These results do not provide sufficient evidence to rebut the conventional wisdom. Therefore, the best answer is that we do not know--and probably will not know prior to combat--how many warriors we have.

#### Forecasting Combat Leaders

An objective of this project is to define a process for forecasting the effectiveness of traits used by successful peacetime leaders in wartime. The results of this research indicate this would be a futile effort with our present understanding of leadership. Past attempts to develop a forecasting process have been similarly unsuccessful. For example, an international group formed after World War II concluded that: "There was no peacetime measure of combat leadership ability. Even strong peacetime leaders sometimes failed miserably as leaders in combat." (50:79)

A forecasting process measuring leader characteristics alone will never be within our capability. History, experience and research tell us so. As we learned in examining the evolution of leadership theories, the leadership process is much more complicated than simply the interaction of leader characteristics and group effectiveness. Other factors mediate the effect of the leader characteristics on group performance, as evident in the "models" of Yukl and Hunt. Leaders may share common characteristics but which ones are dominant in effect

appear to change according to the situation. Sufficient similarity exists between the characteristics of peacetime leaders and combat leaders to suggest that a more fruitful area for investigation would be the variables of leader behavior and use of power and the interaction of leader characteristics with these variables. "We have little specific knowledge about the precise manner in which the different kinds of variables interact; nevertheless, we do have sufficient understanding of the variables to be useful for training and developmental purposes." (13:33)

In view of the findings of this research project, a special forecasting process for the effectiveness of peacetime leader characteristics in combat is not necessary since these types of leaders have virtually the same characteristics. Thus the military services may select, train and develop leaders for both combat and peacetime on the basis of the same leader characteristics.

Indeed the military services have long used this approach in selecting and developing leaders. The military services, like other large and complex organizations, acknowledge that the best predictor remains past success in similar situations, though it is not a guarantee of future success. Military promotions, thus, are made on the basis of past performance and the potential demonstrated for greater responsibility. Combat experience typically receives special emphasis. Military leaders are rotated through a variety of operational and staff assignments, not only to broaden their

perspective, but also to train them and assess their potential for leadership in both combat and peace. Performance records, sometimes combined with personal interviews and reference checks, are the measure of potential for leadership in the military services. Past success, both personal and organizational, provides an objective and realistic measure of not so much what a leader is but what a leader does. The military services' current approach to forecasting leadership potential is as well-founded a process for predicting potential combat leaders as any.

This process is firmly grounded on the principle that leaders are made not born. It is widely accepted that leaders can be developed. Even Zaleznik agrees that people learn to be managers or leaders. Certainly the skills component of the characteristics set can be taught and developed to a significant degree. Personality attributes also can be developed to a point.

Are leaders born or made? Certainly it must be acknowledged that endowment...does contribute to leadership potential. But if we assume that effective leadership is on a continuum, then we can assert that practically everyone has a certain amount of leadership potential. And each one of us can develop this leadership potential further. (16:13-16)

Professional military education is evidence of the military services' commitment to this principle. As General Thomas C. Richards wrote when he was Commandant of Air University: "Leadership is a vital part of today's Air Force; therefore, we cannot depend on born leaders---we must build them through formal training and progressive levels of

responsibility." (59:378) This opinion is widely shared by senior military leaders, as is evident in their articles in the Air Force publication, Concepts for Air Force Leadership.

(60:--) In fact, Bass observed: "The heaviest continuing investment in leadership training occurs at all levels for military leaders." (10:577) One implication of this investment is that if the military services believe they can train anyone--skilled or unskilled--then they can certainly train effective managers to become leaders.

Bennis and Nanus, who distinguish between managers and leaders, strongly emphasize that it is a myth that leaders are born, not made. In their opinion, the major competencies of leadership can be learned. Individuals can enhance their endowments. They call it a myth that leadership is a rare skill. They too believe everyone has leadership potential and an individual may be a leader in one role, but a follower in another. Another myth to them is that leaders are charismatic. Some are, most aren't. They believe charisma may be the result of effective leadership rather than the cause of it.

(12:220-225) "The question becomes not one of how to become a leader but rather how to improve one's effectiveness at leadership." (12:225)

Other researchers, including Stogdill, Bass, Hunt and Yukl have reached a conclusion similar to that of Bennis and Nanus. (10:597-598; 17:263-264; 14:284-287) Hitt clearly relates this conclusion to the criteria for effective leadership:

(1) effective leadership should be viewed in terms of a continuum (from individual to individual and from situation to situation);...(3) leadership should be delineated in terms of its basic functions (focus on what leaders do rather than what they are; functions can be learned);...(4) It can be assumed that managers who are effective in carrying out the eight functions of leadership will be successful in satisfying the three basic criteria of effective leadership (achieve results, in an acceptable manner, in both the short- and long-term). (16:13-16)

We would do well to remember this important lesson: we study leadership and management--not as ends--but as means to group success. Success in solving the problems of leadership makes a leader, not characteristics.

## CHAPTER V

### CONCLUSIONS AND RECOMMENDATIONS

#### Conclusions

It is nonsensical to suppose that individual human qualities count for nothing in the way the world works. Clearly they count for a great deal. (3:9)

(John Keegan)

Certain characteristics, in fact, do distinguish leaders from followers. The characteristics of a particular leader usually reflect those required by the group and the situation. Thus the specific characteristics tend to vary according to the situation. Various contexts or environments--combat, peacetime military, government, business, education--call for different behaviors and, therefore, intuitively demand different characteristics in leaders. However, situations calling for the display of each of the identified leader characteristics seem to arise in each of the contexts. Several researchers have found similar characteristics among leaders across environments.

The thesis that combat leaders require leadership traits and skills different from those required by military leaders in peacetime was not supported by the comparison of scientific research results with the conceptions of military historians, combat leaders and the military services. The comparison showed only relatively minor differences between the characteristics of combat leaders and military leaders in peacetime. This

similarity is especially striking because the characteristics of military leaders in peacetime were assumed to be the same as the predominantly civilian group of leaders in general whom they are perceived to resemble in behavior, attitudes and values.

The "warrior" traits and skills that serve the armed forces well in war do not appear to be counterproductive to leaders in peace. In fact, the prototypical combat leader possesses only two characteristics--selfless and exemplary--not shared by other leaders. Few would object that all leaders, as well as their followers, could benefit from the display of these two characteristics.

A set of criteria for leadership in both peace and combat would include the characteristics listed in Figure III.6. The dominant characteristics in both environments are likely to be motivation to lead and task competence. Some combination of the other identified intellectual, interpersonal and technical skills and personality attributes should reinforce these dominant characteristics. The relative priority of these skills and attributes depends on the type and level of organization and the situation. An individual's characteristics--as required by the group and situation--seem to facilitate the perception of leadership potential and the emergence of a leader.

This conclusion does not suggest, though, that leadership effectiveness measures are directly related to leader characteristics. None of these characteristics is a guarantee of group success. Instead these characteristics are masked by, or expressed through, numerous intervening variables as depicted



in Hunt's and Yukl's conceptual frameworks. The output of the leadership process is the result of the dynamic and synergistic interaction of many factors. This conception of leadership partially helps to explain the apparently inconsistent and inconclusive findings in leadership research. It also accounts for the wide variability witnessed in the characteristics of leaders.

An "effective manager" can become a warrior leader when challenged by combat. In spite of definitional problems and limited research on managers, research results tend to indicate that managerial characteristics are not significantly different from the characteristics of either leaders in general or combat leaders. Given their significant commonality in characteristics, including motivation and competence, it follows that effective managers can be developed into combat leaders.

A process for forecasting the combat effectiveness of characteristics displayed by successful peacetime leaders is not necessary since they share virtually all the identified characteristics of combat leaders. The military services have the resource available from which to select and develop future combat leaders. There is insufficient evidence to establish that warriors have been culled from our armed forces and "effective managers" promoted since Vietnam.

In summary, the composite characteristics of combat leaders, peacetime military leaders and managers appear to be more similar than is commonly thought. So similar, in fact, that we are forced to broaden our thinking beyond simply the

traits of the leader in determining the causes of group effectiveness. We then find that leadership has a process and multiple variables--evident in Yukl's and Hunt's conceptual frameworks--as well as functions and tasks. Within this framework, we have learned that traits help leaders emerge, but it is competence in solving leadership problems that sustains the leader in that role. Success can even negate the presence of undesirable characteristics.

Zaleznik, in arguing that only leaders--not managers--can produce group success, is advancing another version of the discredited trait theory. He is asserting that a universal set of traits, possessed only by leaders, is responsible for group success. He ignores the importance of the group and situation in determining the applicable traits in a leader. Like the original trait theory, Zaleznik's theory is too simplistic for today's complexities. Success in solving leadership problems makes a leader, not individual characteristics. This reality acknowledges the complexity of leadership problems and permits the evident diversity in achieving the desired group outcomes. Complexity underscores the need to understand the full leadership process, to accept that there is more than one right way, to acknowledge that "cook-book" solutions are not feasible.

All too often when we think of our historic leaders, we eliminate all the contradictions that make individuals distinctive. And we further violate reality by lifting them out of their historical contexts. No wonder we are left with painted portraits. As first steps toward a mature view of leadership we must accept complexity and context. (18:7)

### Recommendations

From these results, the following recommendations are appropriate. All the military services could benefit to some degree from their implementation. However, we will limit these recommendations to the sponsor of this project, the Air Force.

The Air Force should increase the study of military leadership in professional military education, particularly at the officer intermediate and senior service school and senior noncommissioned officer levels. The distinctions between peacetime military and combat leadership should be contrasted.

The Air Force should take a more thorough and coherent approach to the study of leadership. We understand significantly more about leadership than is being taught. Lessons on leadership should address the process itself, the functions performed, and the interaction of all variables within a conceptual framework. The intent should be to comprehend, analyze, synthesize and understand the full military leadership process, in all its complexity and diversity.

The Air Force should use the case method to provide structure and to focus study on the full leadership problem confronting the leader. General solutions have little application and seldom provide leaders with a useful precedent for solving current leadership problems.

The Air Force should not encourage the study of leader characteristics out of context. The emphasis should be on the problem of leadership, not the leader. The results of this project provide a balanced basis for the discussion of the role

of leader characteristics.

The Air Force should study the "lessons learned" about the performance of the American "fighting man" in conflict. This information is available but seldom included in professional military education courses.

The Air Force should conduct research on the interaction of leader characteristics, leader behavior and other variables within the military context. Comparisons of the interactions among the variables in combat and the peacetime military should be made.

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